

01/30/02
JC962 U.S. PTO

Please type a plus sign (+) inside this box → ☐

PTO/SB/05 (03-01)
Approved for use through 10/31/2002. OMB 0651-0032

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 30435.53USD4
First Inventor Charles L. Sawyers
Title MICE MODELS OF HUMAN PROSTATE CANCER PROGRESSION
Express Mail Label No. ET575792845US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing.)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 43]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 10]
5. Oath or Declaration [Total Pages 12]
 - a. ☐ Newly executed (original or copy)
 - b. ☒ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document *(if applicable)*
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. ☐ transmittal sheets, check
17. ☐ Other: ☐ fee transmittal sheet

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP)

of prior application No. 09 567,202

Prior application information

Examiner T. Ton

Group Art Unit. 1632

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

26,941

or

☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Sarah B. Adriano

Registration No. (Attorney/Agent)

34.470

Signature

Sarah B. Adriano

Date

January 30, 2002

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



01/30/02

02-05-02

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

DOCKET NUMBER	ANTICIPATED CLASSIFICATION OF THIS APPLICATION:		PRIOR APPLICATION	
	CLASS	SUBCLASS	EXAMINER	ART UNIT
30435.53USD4	Unknown	Unknown	T. Ton	1632

CERTIFICATE UNDER 37 CFR 1.10

"Express Mail" mailing label number: ET575792845US

Date of Deposit January 30, 2002

I hereby certify that this paper or fee is being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Assistant Commissioner for Patents, Washington, D.C. 20231.

By:

Name. Richelle Ann Domingo

J1046 U.S. PTO

10/066266



01/30/02

DIVISIONAL APPLICATION UNDER 37 C.F.R. § 1.53(b)

Assistant Commissioner for Patents
Washington, DC 20231

Dear Sir:

This is a request for filing a divisional application under 37 CFR § 1.53(b) of Serial No. 09/567,202, filed on May 8, 2000 entitled MICE MODELS OF HUMAN PROSTATE CANCER PROGRESSION by the following inventor(s):

Full Name Of Inventor	Family Name Sawyers	First Given Name Charles	Second Given Name L.
Residence & Citizenship	City Los Angeles	State or Foreign Country California	Country of Citizenship US
Post Office Address	Post Office Address 177 S. Westgate Avenue	City Los Angeles	State & Zip Code/Country California 90049/USA
Full Name Of Inventor	Family Name Klein	First Given Name Karen	Second Given Name A.
Residence & Citizenship	City Los Angeles	State or Foreign Country California	Country of Citizenship US
Post Office Address	Post Office Address 174 Denslow Avenue	City Los Angeles	State & Zip Code/Country California 90049/USA
Full Name Of Inventor	Family Name Witte	First Given Name Owen	Second Given Name N.
Residence & Citizenship	City Sherman Oaks	State or Foreign Country California	Country of Citizenship US
Post Office Address	Post Office Address 14727 Sutton Drive	City Sherman Oaks	State & Zip Code/Country California 91403/USA
Full Name Of Inventor	Family Name Reiter	First Given Name Robert	Second Given Name E.
Residence & Citizenship	City Los Angeles	State or Foreign Country California	Country of Citizenship US
Post Office Address	Post Office Address 10511 Kinnard Avenue	City Los Angeles	State & Zip Code/Country California 90024/USA

1.



Enclosed is a true and correct copy of the prior application; including the specification, claims, drawings, oath or declaration showing the applicant's signature, and any amendments referred to in the oath or declaration filed to complete the prior application. (It is noted that no amendments referred to in the oath or declaration filed to

complete the prior application introduced new matter therein.) The copy of the prior application is as follows: 39 pages of specification, 20 claims, 1 pages of abstract, 10 sheets of drawings, 3 sheets of Verified Statement of Small Entity Status and 12 pages of oath or declaration.

2. ☒ Cancel in this application original claims 2-20 of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)
3. ☒ The filing fee is calculated below:

CLAIMS AS FILED

NUMBER FILED	NUMBER EXTRA		RATE	FEE
TOTAL CLAIMS:				
1 -20	0	X	\$9.00	\$0.00
INDEPENDENT CLAIMS				
-3	0	X	\$42.00	\$0.00
			BASIC FILING FEE:	\$370.00
			MULTIPLE DEPENDENT FEE:	\$0.00
			TOTAL FILING FEE:	\$370.00

- ☒ Applicants claim small entity.
4. ☒ Payment of fees:
☒ Attached is a check in the amount of \$370.00.
☐ Please charge Deposit Account No. 50-0306.
5. ☒ The Commissioner is hereby authorized to charge any additional fees as set forth in 37 CFR §§ 1.16 to 1.18 which may be required by this paper or credit any overpayment to Account No. 50-0306.
6. ☒ Amend the specification as follows:

Please delete the title on page 1, line 1 and replace with:

--METHODS OF ASSESSING THE EFFECT OF A GENE OF INTEREST ON HUMAN PROSTATE CANCER PROGRESSION--

Please replace the first full paragraph of page 1 with the following:

--This is a divisional application of U.S. Serial No. 09/567,202, filed May 8, 2000, which is a divisional of U.S. Serial No. 08/951,143, filed October 15, 1997, which is a CIP of U.S. Serial No. 08/732,676, filed October 15, 1996, which applications are incorporated herein by reference.--
7. ☐ A set of formal drawings (____ sheets) is enclosed.
8. ☐ Priority of application Serial No. _____, filed on _____ in _____, is claimed under 35 U.S.C. 119.
- ☐ The certified copy has been filed in prior application Serial No. _____, filed _____.
9. ☒ The prior application is assigned of record to The Regents of the University of California.

10. ☒ The Power of Attorney in the prior application is to:

Mandel & Adriano
35 N. Arroyo Parkway, Suite 60
Pasadena, California 91103

11. ☐ A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

☐ Fee for excess claims is attached.

12. ☐ A petition and fee has been filed to extend the term in the prior application until _____. A copy of the petition for extension of time in the prior application is attached.

13. ☐ The inventor(s) in this application are less than those named in the prior application and it is requested that the following inventors identified above for the prior application be deleted:

14. ☒ Also Enclosed: Application Data Sheet (2 sheets), Utility Transmittal Sheet (1 sheet, in duplicate), Fee Transmittal Sheet (1 sheet)

15. ☒ Address all future communications to the **Attention of Sarah B. Adriano** (may only be completed by attorney or agent of record) at the address below.

16. ☒ A return postcard is enclosed.

Respectfully submitted,

Sarah B. Adriano

Sarah B. Adriano

Reg. No. 34,470

Attorney for Applicants

Mandel & Adriano

35 No. Arroyo Parkway, Suite 60

Pasadena, California 91103

626/395-7801

Customer No. 26, 941

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**FEE TRANSMITTAL
for FY 2002**

Patent fees are subject to annual revision.

Complete if Known

Application Number	
Filing Date	01/30/2002
First Named Inventor	Charles L. Sawyers
Examiner Name	T. Ton
Group Art Unit	1632
Attorney Docket No.	30435.53USD4

TOTAL AMOUNT OF PAYMENT (\$) 370.00**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **Mandel & Adriano**

Deposit Account Name **50-0306**

- ☒
- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☒
- Applicant claims small entity status See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description
101 740	201 370	Utility filing fee
106 330	206 165	Design filing fee
107 510	207 255	Plant filing fee
108 740	208 370	Reissue filing fee
114 160	214 80	Provisional filing fee

Fee Paid

370.00

SUBTOTAL (1) (\$) 370.00**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
1	-20** = 0	9.00	0.00
1	-3** = 0	42.00	0.00
Multiple Dependent		40.00	0.00

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0.00

**or number previously paid, if greater For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0.00**SUBMITTED BY**

Complete (if applicable)

Name (Print/Type)	Sarah B. Adriano	Registration No. (Attorney/Agent)	34,470	Telephone	(626)395-7801
Signature	<i>Sarah B. Adriano</i>	Date	01/30/2002		

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